

Securities and Exchange Commission
Part 201, Subpt. E, Table I

Former rules	New rules (17 CFR 201)	Former rules	New rules (17 CFR 201)
5	104.	22(h)	140(a).
6(a)	200(b).	22(i)	none.
6(a),(b),(f)	141(a).	22(j), (k)	160, 140(c).
6(a), (b)	200(a)(1).	22(k)	140(b).
6(b)	200(c).	23(a)	150(a).
6(c), (d)	200(d), (e).	23(b)	150(c), 160.
6(e)	221(f), 310.	23(c)	150(d).
6(f)	200(a)(2).	23(d)	141(b).
7(a)–(e)	220.	23(e)	490.
7(f)	153.	24	17 CFR 228.10(f), 17 CFR 229.10(d).
8(a)	240.	25	190.
8(b)–(c)	202.	25(d)	302(b).
8(d)	221, 222(a).	26(a), (c)	430.
9	210.	26(b)	431(b).
10	201.	26(d)	431(c).
11(a)–(b)	300.	26(e)	431(d)–(f).
11(b)	110, 301.	27	191.
11(c)	112.	28	191.
11(d), (e)	111.	29	193.
11(e)	154, 250, 321(a).	17 CFR 202.8	550.
11(f)	302(a).	17 CFR 240.19d-2	401(a)–(b), (d).
11–1	231(a).	17 CFR 240.19d-3(a)	420, 421.
12(a)	400.	17 CFR 240.19d-3(b)	420(a), (b), (d).
12(b)	151(c).	17 CFR 240.19d-3(c)–(d)	450, 180(c).
12(c)	401.	17 CFR 240.19d-3(e)	452.
12(d)	155.	17 CFR 240.19d-3(f)	451.
13	161.	17 CFR 240.19d-3(g)	100.
14(a)	320, 325, 326.		
14(b)	232(a)–(d).		
14(b)(2), (c)	232(e)–(f).		
14(d)	323.		
15(a)–(e)	233.		
15(f)	235.		
15(g)	234.		
16(a)	360(b).		
16(b)	360(a).		
16(c) [reserved]	n/a.		
16(d)–(e)	340.		
16(f)	351, 360(c).		
16(g)	111.		
17(a)	410(a).		
17(b)	410(b).		
17(c)	411(c).		
17(d)	411(b), (e).		
17(e)	450(a), (d).		
17(f)	360(d), (e).		
17(g)	411(d), (a), (f).		
17(h)	410(e).		
18	450(b).		
19	530.		
20(a)–(b)	350, 351, 460.		
20(c)	302(c).		
20(d)	152(f).		
21	451.		
21(c)	460.		
21(d)	452.		
21(e)	470.		
22(a)	151(a)–(c), 152.		
22(b) [reserved]	n/a.		
22(c)	152(d).		
22(d)	152(e), 450(c).		
22(e)–(g)	152(a)–(c).		

Subpart E—Adjustment of Civil Monetary Penalties

AUTHORITY: Pub. L. 104–134, 110 Stat. 1321.

SOURCE: 61 FR 57774, Nov. 8, 1996, unless otherwise noted.

§ 201.1001 Adjustment of civil monetary penalties—1996.

As required by the Debt Collection Improvement Act of 1996, the maximum amounts of all civil monetary penalties under the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Company Act of 1940, and the Investment Advisers Act of 1940 are adjusted for inflation in accordance with Table I to this subpart. The adjustments set forth in Table I apply to violations occurring after December 9, 1996 and before February 2, 2001.

[66 FR 8762, Feb. 2, 2001]

TABLE 1 TO SUBPART E—CIVIL MONETARY PENALTY INFLATION ADJUSTMENTS

U.S. code citation	Civil monetary penalty description	Year pen- alty amount was last set by law	Original statu- tory maximum penalty amount	Adjusted max- imum penalty amount
SECURITIES AND EXCHANGE COMMISSION: 15 USC 77t(d)	FOR NATURAL PERSON	1990	\$5,000	\$5,500

Part 201, Subpt. E, Table I**17 CFR Ch. II (4-1-02 Edition)**

U.S. code citation	Civil monetary penalty description	Year pen- alty amount was last set by law	Original statu- tory maximum penalty amount	Adjusted max- imum penalty amount
	FOR ANY OTHER PERSON	1990	50,000	55,000
	FOR NATURAL PERSON/FRAUD	1990	50,000	55,000
	FOR ANY OTHER PERSON/FRAUD	1990	250,000	275,000
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	100,000	110,000
	FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	500,000	550,000
15 USC 78ff(b)	EXCHANGE ACT/FAILURE TO FILE INFORMATION DOCUMENTS, REPORTS.	1936	100	110
15 USC 78ff(c)(1)(B).	FOREIGN CORRUPT PRACTICES—ANY ISSUER	1988	10,000	11,000
15 USC 78ff(c)(2)(C).	FOREIGN CORRUPT PRACTICES—ANY AGENT OR STOCKHOLDER ACTING ON BEHALF OF ISSUER.	1988	10,000	11,000
15 USC 78u—1(a)(3).	INSIDER TRADING—CONTROLLING PERSONS	1988	1,000,000	1,100,000
15 USC 78u-2	FOR NATURAL PERSON	1990	5,000	5,500
	FOR ANY OTHER PERSON	1990	50,000	55,000
	FOR NATURAL PERSON/FRAUD	1990	50,000	55,000
	FOR ANY OTHER PERSON/FRAUD	1990	250,000	275,000
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES TO OTHERS/GAINS TO SELF.	1990	100,000	110,000
	FOR ANY OTHER PERSONS/SUBSTANTIAL LOSSES TO OTHERS/GAIN TO SELF.	1990	500,000	550,000
15 USC 78u(d)(3).	FOR NATURAL PERSON	1990	5,000	5,500
	FOR ANY OTHER PERSON	1990	50,000	55,000
	FOR NATURAL PERSON/FRAUD	1990	50,000	55,000
	FOR ANY OTHER PERSON/FRAUD	1990	250,000	275,000
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	100,000	110,000
	FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	500,000	550,000
15 USC 80a—9(d).	FOR NATURAL PERSON	1990	5,000	5,500
	FOR ANY OTHER PERSON	1990	50,000	55,000
	FOR NATURAL PERSON/FRAUD	1990	50,000	55,000
	FOR ANY OTHER PERSON/FRAUD	1990	250,000	275,000
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES TO OTHERS/GAINS TO SELF.	1990	100,000	110,000
	FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES TO OTHER/GAINS TO SELF.	1990	500,000	550,000
15 USC 80a—41(e).	FOR NATURAL PERSON	1990	5,000	5,500
	FOR ANY OTHER PERSON	1990	50,000	55,000
	FOR NATURAL PERSON/FRAUD	1990	50,000	55,000
	FOR ANY OTHER PERSON/FRAUD	1990	250,000	275,000
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	100,000	110,000
	FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	500,000	550,000
15 USC 80b—3(i).	FOR NATURAL PERSON	1990	5,000	5,500
	FOR ANY OTHER PERSON	1990	50,000	55,000
	FOR NATURAL PERSON/FRAUD	1990	50,000	55,000
	FOR ANY OTHER PERSON/FRAUD	1990	250,000	275,000
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES TO OTHERS/GAIN TO SELF.	1990	100,000	110,000
	FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES TO OTHERS/GAIN TO SELF.	1990	500,000	550,000
15 USC 80b—9(e).	FOR NATURAL PERSON	1990	5,000	5,500
	FOR ANY OTHER PERSON	1990	50,000	55,000
	FOR NATURAL PERSON/FRAUD	1990	50,000	55,000
	FOR ANY OTHER PERSON/FRAUD	1990	250,000	275,000
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	100,000	110,000
	FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	500,000	550,000